

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Attorney's Docket No. 5052-53

Applicant, Patentee, or Identifier: Walsh et al.  
Application No. or Patent No.: To be assigned  
Filed or Issued: Concurrently Herewith  
Title: ADENO-ASSOCIATED VIRUS VECTORS ENCODING FACTOR VIII AND  
METHODS FOR USING SAME

STATEMENT CLAIMING SMALL ENTITY STATUS  
(37 C.F.R. § 1.9(f) & 1.27(d))--NONPROFIT ORGANIZATION

I hereby state that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF NONPROFIT ORGANIZATION University of North Carolina at Chapel Hill  
ADDRESS OF NONPROFIT ORGANIZATION 308 Bynum Hall; CB 4105, Chapel Hill,  
North Carolina 27599-4105

TYPE OF NONPROFIT ORGANIZATION:

- ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION  
☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE  
(26 U.S.C. 501(a) and 501(c)(3))  
☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF  
STATE OF THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)  
☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE  
SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3)) IF LOCATED IN THE  
UNITED STATES OF AMERICA  
☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL  
UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF  
LOCATED IN THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)

I hereby state that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 C.F.R. 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office, under Section 41(a) and (b) of Title 35, United States Code, regarding the invention described in:

- ☐ the specification filed herewith with title as listed above.  
☒ the application identified above.  
☐ the patent identified above.

I hereby state that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above-identified invention. If the rights held by the nonprofit organization are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 C.F.R. § 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 C.F.R. § 1.9(d) or a nonprofit organization under 37 C.F.R. § 1.9(e).

☒  
☐

No such person, concern, or organization exists.

Each such person, concern, or organization is listed below.

FULL NAME: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

☐ Individual

☐ Small Business

☐ Nonprofit Organization

FULL NAME: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

☐ Individual

☐ Small Business

☐ Nonprofit Organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 C.F.R. § 1.28(b))

NAME OF PERSON SIGNING: \_\_\_\_\_ **W. Mark Crowell**  
Associate Vice Chancellor and Director  
Office of Technology Development

TITLE IN ORGANIZATION OF PERSON SIGNING: \_\_\_\_\_

ADDRESS OF PERSON SIGNING: \_\_\_\_\_  
**OFFICE OF TECHNOLOGY DEVELOPMENT**  
Campus Box #4105, 308 Bynum Hall  
The University of North Carolina at Chapel Hill  
Chapel Hill, North Carolina 27599-4105

SIGNATURE: Mark Crowell DATE: 10/2/00

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